

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

113737.6

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/762850

PRIORITY DATE CLAIMED

14 August 1998 (14.08.98)

INTERNATIONAL APPLICATION NO.

PCT/EP99/05867

INTERNATIONAL FILING DATE

12 August 1999 (12.08.99)

TITLE OF INVENTION Process for Obtaining Highly-Purified Alginates

APPLICANT(S) FOR DO/EO/US ZIMMERMANN, Ulrich and BEHRINGER, Marcus

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
 2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
 3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
 4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
 5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
 6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
 7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
 8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
 9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
 10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern document(s) or information included:**
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
 12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
 13. ☒ A FIRST preliminary amendment.
 14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
 15. ☐ A substitute specification.
 16. ☐ A change of power of attorney and/or address letter.
 16. ☒ Other items or information:

Applicant claims Small Entity Status.

CALCULATIONS PTO USE ONLY

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$970.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO. \$840.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but
international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 0.00

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE |
|--------------------|--------------|--------------|-----------|
| Total claims | 27 - 20 = | 7 | X \$18.00 |
| Independent claims | 2 - 3 = | 0 | X \$78.00 |

\$ 126.00

\$ 0.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$260.00

\$ 0.00

TOTAL OF ABOVE CALCULATIONS =

\$ 986.00

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$ 493.00

SUBTOTAL =

\$ 493.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

TOTAL NATIONAL FEE =

\$ 493.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

\$ 0.00

TOTAL FEES ENCLOSED =

\$ 493.00

| | |
|---------------------------|----|
| Amount to be refunded: | \$ |
| charged: | \$ |

- a. ☒ A check in the amount of \$ 493.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 50-0436. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Matthew P. McWilliams
Pepper Hamilton LLP
3000 Two Logan Square
Eighteenth and Arch Streets
Philadelphia, PA 19103-2799
USA



SIGNATURE:

Matthew P. McWilliams

NAME

46,922

REGISTRATION NUMBER



02-14

09/762850
JUL 06 Rec'd PCT/PTO 13 FEB 2001

PATENT \$

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
PATENT EXAMINING OPERATION

Attorney Docket No.: 113737.6

Assistant Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL
UNDER 35 U.S.C. 371

Transmitted herewith for filing is the patent application of

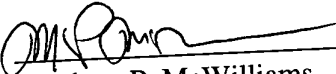
Inventors: Ulrich Zimmermann and Marcus Behringer
For: Process for Obtaining Highly Purified Alginates

Please direct all correspondence to:

Robert A. Koons, Jr.
PEPPER HAMILTON LLP
3000 Two Logan Square
Eighteenth and Arch Streets
Philadelphia, PA 19103-2799

Respectfully submitted,

Telephone Number: (215) 981-4442
Facsimile Number: (215) 981-4271


Matthew P. McWilliams
Registration No. 46,922
Agent for Applicant

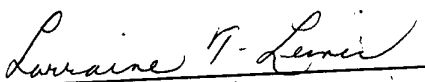
Dated: February 13, 2001

Express Mailing Label No. EL715949793US

Date of Deposit February 13, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, BOX PATENT APPLICATION, Washington, DC 20231.

Lorraine T. Lewis
(Typed or printed name of person mailing paper)


(Signature of person mailing paper or fee)

09/762850

JUN 2 Rec'd PCT/PTO 13 FEB 2001

Practitioner's Docket No. 113737.6

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ulrich Zimmermann and Marcus Behringer
Serial No.: N/A Group No.: N/A
Filed: herewith Examiner: N/A

For: PROCESS FOR OBTAINING HIGHLY PURIFIED ALGINATES

BOX

Assistant Commissioner for Patents
Washington, D.C. 20231

PRELIMINARY AMENDMENT TRANSMITTAL

1. Transmitted herewith is a preliminary amendment for this application.

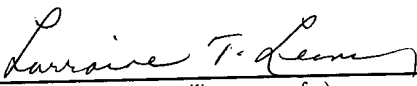
STATUS

2. Applicant is
[x] a small entity.
[] other than a small entity.

Express Mailing Label No. EL715949793USDate of Deposit February 13, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, BOX PATENT APPLICATION, Washington, DC 20231.

Lorraine T. Lewis
(Typed or printed name of person mailing paper)


(Signature of person mailing paper or fee)

(Amendment Transmittal—page 1 of 4)

09762850-04301

EXTENSION OF TERM

3. The proceedings herein are for a patent application and the provisions of 37 C.F.R. 1.136 apply.

(complete (a) or (b), as applicable)

- (a) ☐ Applicant petitions for an extension of time under 37 C.F.R. 1.136 (fees: 37 C.F.R. 1.17(a)(1)-(4)) for the total number of months checked below:

| Extension (months) | Fee for other than small entity | Fee for small entity |
|---------------------------------------|------------------------------------|-------------------------|
| <input type="checkbox"/> one month | \$ 110.00 | \$ 55.00 |
| <input type="checkbox"/> two months | \$ 390.00 | \$ 195.00 |
| <input type="checkbox"/> three months | \$ 890.00 | \$ 445.00 |
| <input type="checkbox"/> four months | \$ 1,390.00 | \$ 695.00 |
| <input type="checkbox"/> five months | \$ 1,890.00 | \$ 945.00 |

Fee: \$ _____

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

- ☐ An extension for _____ months has already been secured. The fee paid therefor of \$ _____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ _____

OR

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition for extension of time.

FEE FOR CLAIMS

4. The fee for claims (37 C.F.R. 1.16(b)-(d)) has been calculated as shown below:

| | | | | | OTHER THAN A SMALL ENTITY | | | |
|--|----------|---------------------------------------|------------------|---------------------|------------------------------|--------------|---------------------|---------------|
| (Col.1) | (Col. 2) | (Col. 3) | SMALL ENTITY | | | SMALL ENTITY | | |
| Claims Remaining After Amendment | | Highest No. Previously Paid For | Present Extra | Rate | Addit. Fee | OR | Rate | Addit. Fee |
| Total | * Minus | ** | = | x \$9 = | \$ | | x \$18 = | \$ |
| Indep. | * Minus | *** | = | x \$40 | \$ | | x \$80 = | \$ |
| [] First Presentation of Multiple Dependent Claim | | | | + \$135 = | \$ | | + \$270 = | \$ |
| | | | | Total Addit. Fee | \$ | OR | Total Addit. Fee | \$ |

- (c) ☒ No additional fee for claims is required.

(Amendment Transmittal—page 2 of 4)

T06T40-0529260

OR

(d) ☐ Total additional fee for claims required \$ _____.

FEE PAYMENT

5. ☐ Attached is a check in the sum of \$ _____.
☐ Charge Account No. 50-0436 the sum of \$ _____.
A duplicate of this transmittal is attached.

FEE DEFICIENCY

6. ☒ If any additional extension and/or fee is required, charge Account No. 50-0436.

AND/OR

☒ If any additional fee for claims is required, charge Account No. 50-0436.



SIGNATURE OF PRACTITIONER

Reg. No. 46,922

Matthew P. McWilliams
Pepper Hamilton LLP
3000 Two Logan Square
Eighteenth and Arch Streets
Philadelphia, PA 19103-2799

Tel. No. (215) 981-4442